

DEPARTMENT OF STATE TREASURER
TREASURER'S OFFICE

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the


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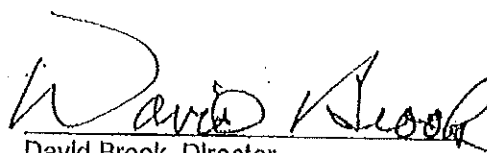
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed. The

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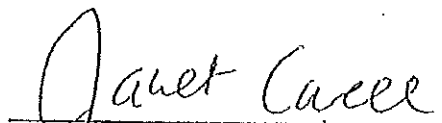
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

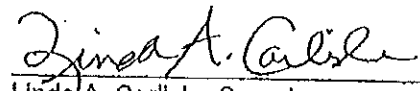
APPROVAL RECOMMENDED


Sandra Johnson, Chief Records Officer
Department of State Treasurer


David Brook, Director
Division of Historical Resources

APPROVED


Janet Cowell, State Treasurer
Department of State Treasurer


Linda A. Carlisle, Secretary
Department of Cultural Resources

April 30, 2009

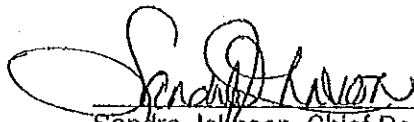
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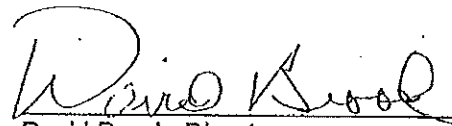
PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF STATE TREASURER
TREASURER'S OFFICE

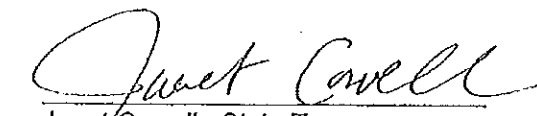
Amend the program records retention and disposition schedule approved April 30, 2009 by adding item 49277 as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

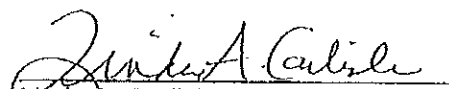
APPROVAL RECOMMENDED


Sandra Johnson, Chief Records Officer
Department of State Treasurer


David Brook, Director
Division of Historical Resources

APPROVED


Janet Cowell, State Treasurer
Department of State Treasurer


Linda A. Carlisle, Secretary
Department of Cultural Resources

October 5, 2010

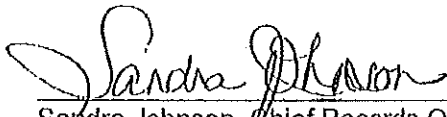
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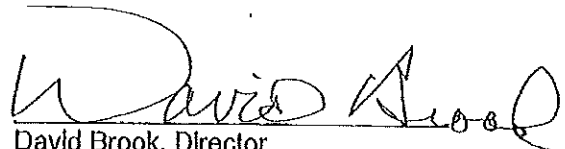
PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF STATE TREASURER
TREASURER'S OFFICE

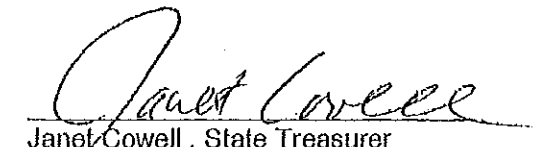
Amend the program records retention and disposition schedule approved October 5, 2010 by adding item 49911 as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

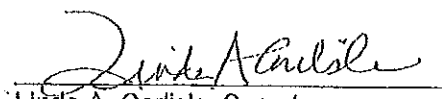
APPROVAL RECOMMENDED


Sandra Johnson, Chief Records Officer
Department of State Treasurer


David Brook, Director
Division of Historical Resources

APPROVED


Janet Cowell, State Treasurer
Department of State Treasurer


Linda A. Carlisle, Secretary
Department of Cultural Resources

January 13, 2012

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PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF STATE TREASURER
TREASURER'S OFFICE

Amend the program records retention and disposition schedule approved April 30, 2009, by changing the disposition instructions for Item 16280 and by adding a new item 49911, as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

APPROVAL RECOMMENDED



Sandra Johnson, Chief Records Officer
Department of State Treasurer

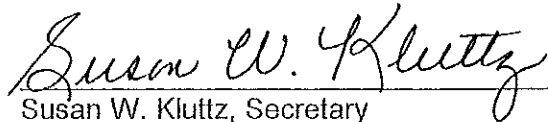


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Janet Cowell, State Treasurer
Department of State Treasurer



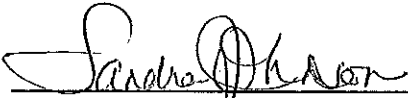
Susan W. Kluttz, Secretary
Department of Cultural Resources


PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF STATE TREASURER
TREASURER'S OFFICE


Amend the program records retention and disposition schedule approved April 30, 2009, by adding Items 16221, 16223, 50222, and 50223. No other items on this schedule have been amended, added, or removed.

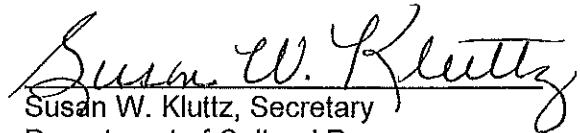
APPROVAL RECOMMENDED


Sandra Johnson, Chief Records Officer
Department of State Treasurer


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED


Janet Cowell, State Treasurer
Department of State Treasurer


Susan W. Kluttz, Secretary
Department of Cultural Resources

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

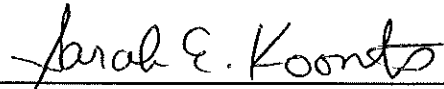
**DEPARTMENT OF STATE TREASURER
TREASURER'S OFFICE**

Amend the program records retention and disposition schedule approved April 30, 2009, by discontinuing Items 3534, 3535, 16338, 16340, and 16341. No other items on this schedule have been amended, added, or removed.

APPROVAL RECOMMENDED



Sandra Johnson, Chief Records Officer
Department of State Treasurer

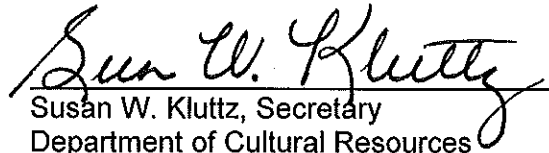


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Janet Cowell, State Treasurer
Department of State Treasurer



Susan W. Kluttz, Secretary
Department of Cultural Resources

**DEPARTMENT OF STATE TREASURER
TREASURER'S OFFICE**

ITEM 16221. MONTHLY OR QUARTERLY REPORTS AND NOTICES FILE

Reference copies of reports concerning Treasurer's Fund Investment Positions received from the Deputy Treasurer.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 16223. INVESTMENT ADVISORY COMMITTEE MINUTES FILE

Minutes of Investment Management Section Committee meetings. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer to State Records Center after 5 years to be microfilmed. Records will be held for agency in the State Records Center for 5 additional years and then microfilmed. Paper records will be returned to agency after microfilming. The agency will pay for the conversion of paper records to preservation microfilm. Retain in office microfilmed paper records permanently. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives.

ITEM 16234. DEPARTMENT PERSONNEL FILE

Personnel records concerning departmental employees. File includes applications, resumes, and personnel action records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after employee terminates service. Records will be held for agency 25 additional years and then destroyed.

ITEM 16241. DEPARTMENTAL HISTORY FILE

Historical data concerning the department. File includes correspondence, monthly activity reports, transcripts of speeches, annual reports, and newspaper clippings. (Comply with applicable provisions of G.S. 132-1.2 and 132-1.2(2) regarding confidentiality of confidential communications by legal counsel or discloses trade secrets, social security numbers, or account numbers.)

DISPOSITION INSTRUCTIONS: Print and interfile electronic records with related paper records. Destroy in office electronic versions of records when administrative value ends. Transfer original paper records to the State Records Center after Administration ends. Records will be held for agency in the State Records Center for 5 additional years and then transferred to the custody of Archives.

ITEM 16267. BOARD MEMBERS FILE

Information listing current memberships of all boards of the Department of State Treasurer. (Information is utilized for reimbursement of expenses by the state.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16270. FORMS CONTROL FILE

Reference copies of all forms used by the department.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16271. TREASURER'S SUBJECT FILE

Records concerning individuals, commissions, boards, and committees with which the State Treasurer is affiliated. File includes correspondence, memoranda, and reports submitted by deputy treasurers. (Comply with applicable provisions of G.S. 132-1.2 and 132-1.2(2) regarding confidentiality of confidential communications by legal counsel or which discloses trade secrets, social security numbers, or account numbers.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records after 5 years. Transfer remaining paper records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**DEPARTMENT OF STATE TREASURER
TREASURER'S OFFICE**

ITEM 16272. DEPUTY TREASURERS' FILE

Records concerning the divisional deputy treasurers. File includes reports and other reference materials. (Comply with applicable provisions of G.S. 132-1.2 and 132-1.2(2) regarding confidentiality of confidential communications by legal counsel or which discloses trade secrets, social security numbers, or account numbers.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records after 5 years. Transfer remaining paper records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 16273. APPOINTMENTS FILE

Listings of daily appointments of the State Treasurer.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.

ITEM 16280. LITIGATION FILE

Records in electronic and paper formats concerning potential or actual litigation and legal action. (Comply with applicable provisions of G.S. 132-1.1 regarding attorney-client communications, G.S. 132-1.9 regarding trial preparation materials, and G.S. 132-1.2 (2) regarding confidentiality of social security numbers.) Amended 03-12-2012

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of the litigation or other official action and resolution of all issues involved.

ITEM 48494. CORRESPONDENCE FILE

Correspondence in paper and electronic formats sent to and from section directors concerning section topics of interest, such as legal, communication, human resources, corporate governance, and legislation. File also contains staff travel information. (Comply with applicable provisions of G.S. 132-1.2 and 132-1.2(2) regarding confidentiality of confidential communications by legal counsel or which disclose trade secrets, social security numbers or account numbers.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office upon completion of action and resolution of issues involved.

ITEM 48495. RULE MAKING FILE

Records in paper and electronic formats of rule-making proceedings. File includes all written comments received, transcripts, or recordings of public hearings, and any written explanations or justifications made by the agency in connection with the rulemaking proceedings.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy electronic records once they have been printed and interfiled. Transcribe audio recordings and destroy or recycle after transcriptions have been completed and verified. Transfer paper records to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**DEPARTMENT OF STATE TREASURER
TREASURER'S OFFICE**

ITEM 49277. INTERNAL AUDIT FILE

Records in paper and electronic formats, including e-mail, concerning internal audit reports. File includes audit reports, correspondence, miscellaneous reports, supporting documentation and other related records. Retention of internal audit records is regulated by Section 4.4.2 of the North Carolina Audit Manual, which requires that records be maintained for a minimum of 10 years. (Comply with applicable provisions of G.S. 132-1.2, and 132-1.2 (2) regarding confidentiality of communications by legal counsel or discloses trade secrets, social security numbers or account numbers and G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office paper and electronic records after 10 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 49911. LEGISLATIVE LIAISON FILE

Records in paper and electronic formats, including e-mail, generated by departmental liaisons. File includes correspondence, memoranda, reports, and other reference materials. (Comply with applicable provisions of G.S. 132-1.2, and 132-1.2 (2) regarding confidentiality of communications by legal counsel or disclosing trade secrets or social security numbers.) Amended 01-13-2012

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office paper and electronic records after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 50222. STATEMENT OF ECONOMIC INTEREST FORMS (REFERENCE) FILE

Reference copies of all annual and supplemental forms filed by department employees.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years if no litigation, claim, audit or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 50223. PUBLIC RECORDS REQUEST FILE

Records in paper and electronic formats, including e-mail, concerning the department's response to public record requests. File includes requests and correspondence. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records, and G.S. 132-1.2 regarding confidential information.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years if no litigation, claim, audit or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**DEPARTMENT OF STATE TREASURER
TREASURER'S OFFICE
TAX REVIEW BOARD**

ITEM 3534. REGULAR CASE FILE

Case files concerning appeals made by taxpayers regarding tax liability decisions as made by the Secretary of Revenue and the Commissioner of Insurance. File includes memorandums, briefs, testimony materials, administrative decisions, correspondence, petitions, tax returns, and other related documents.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Department of Revenue, Tax Administration, Local Government Division, Tax Review Board, Tax Review Regular Cases File (Item 15364). Amended 5-20-2013.

ITEM 3535. AUGMENTED CASES FILE

Case files concerning corporate taxpayers' requests for use of alternative allocations formulas. File includes correspondence, tax returns, excerpts from minutes of meetings, and other related documents.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Department of Revenue, Tax Administration, Local Government Division, Tax Review Board, Cases File (Item 15365). Amended 5-20-2013.

ITEM 16338. TAX REVIEW BOARD MINUTES FILE

Official minutes of the Tax Review Board. File includes minutes of regular and augmented cases, docket of taxpayers cases, announcement notices sent to members of the Tax Review Board, and other supporting documents.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Department of Revenue, Tax Administration, Local Government Division, Tax Review Board, Tax Review Board Minutes File (Item 15363). Amended 5-29-2013.

ITEM 16340. PENDING CASES FILE

Petitions concerning regular and augmented cases. File includes correspondence and other related documents.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Department of Revenue, Tax Administration, Local Government Division, Tax Review Board, Cases File (Item 15365). Amended 5-20-2013.

ITEM 16341. TAX REVIEW BOARD CORRESPONDENCE FILE

Correspondence requesting review of case file or information concerning allocations.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Department of Revenue, Tax Review Board. Amended 5-20-2013.